



Exceptional Case Handling - Overview

There are a small number of cases that cannot be set up or supported on the 2012 system. These cases are grouped into two types and require different consideration and handling through the Gateway process, these are:

- Type one cases which cannot be started on 2012 system because one or more of the case participants (paying parent, receiving parent or qualifying child) do not have a NINO or CRN
- Type two cases which are initially processed on 2012 system and are subsequently managed as exceptional cases as they cannot be progressed to an accurate business outcome

Both types of case reach the exceptional case handling team through the CMS2012 incident management process.

Once a case is exceptional the whole case-group becomes exceptional.

Before completing a new application, check that the application fee has been processed. If not, refer to the procedure for [Application - Fees](#) for further guidance.

There are no automated interface activities, i.e. no changes that may affect a case are notified by other systems. Changes of circumstances are restricted to those reported by clients. Caseworkers can manually access other databases to check information.

Clients will not be able to use the Self Service Portal to update or obtain information.

There are four methods of payment from (MOPF) that can be used. These are:

- Standing Order (SO)
- Deduction from Benefit (DFB)
- Deduction from Earnings Order (DEO)
- Maintenance Direct (not a MOPF, but a service type)

Sensitive cases are handled by security cleared caseworkers from the team. Apart from the designated Receipts and Payments tool (for sensitive cases only), all tools are used to build sensitive cases, the detail is not stored on local servers but printed off and stored securely.

Each case may be subject to the following:

- Gateway – Proactive incident management team pass case details to the exceptional handling gateway team who complete lookup, refer to [Exceptional Case - Gateway](#).
- Information Gathering – Gather case details for post and pre applications including changes of circumstance, refer to [Exceptional Case - Information Gathering](#).
- Customer Information Service (CIS) - Register an interest in CIS to ensure changes of circumstances are accurately reported, refer to [CIS interest - exceptions process](#)
- 2012 scheme case closed or paused - depending on how far the case can be progressed on CMS2012, that case will need to be paused or closed - for more information refer to [Exceptional Case - Close 2012 Scheme Case](#)
- Assessment - Calculation tool used to calculate the 2012 exceptional case solution liability, refer to [Exceptional Case - Assessment](#).
- Create payment schedule - Guidance in creating the promise to pay schedule and payment plan refer to [Exceptional case - create payment schedule](#).
- Set up a standing order - How to complete and issue a standing order mandate refer to [Exceptional case - set up standing order](#).
- Payments - Assigning and allocating exceptional case payments is currently completed offline.
- Exceptional case payments - Payments received into CMS2012 that cannot be automatically allocated are moved to a suspense account and a discrepancy log SR is triggered, refer to [Exceptional case payments - investigate/escalate](#).
- Failed receipts/payments - To record a failed receipt/payment refer to [Exceptional case - failed receipts/payments](#).
- Add/remove user - To add or remove a caseworker access to the receipts and payments tool refer to [Exceptional case - receipts and payments tool - add/remove user](#).

A number of small systems have been developed to support caseworkers through these processes.

Complaints, including appeals against decisions, parliamentary contacts and subject access requests are dealt with, as far as possible, via usual business processes.

Support is provided by the bespoke procedures, however mainstream 2012 guidance should be followed to allow case progression and to make appropriate decisions on a case. Whilst this is ongoing, no system action is possible:

- Telephony - is not integrated
- Case notes - use the application tool to record and store any information
- Letters - The exceptional case handling team will use the off system letters link: [2012 scheme letter](#), [Exceptional Case - Letters \(Outbound\)](#) and the relevant procedure to identify and issue the correct notification. Record the CMSL number and date letter issued on the **Letters** field of the application template

Cases remain exceptional until the underlying reason which caused their failure is rectified e.g. either a NINO/CRN is allocated or the system limitation is fixed.

Caseworkers need to complete the [ECH Gateway Template](#), or for Arrears only cases the [Arrears Only ECH Template](#) and email to [CM2012 ECH GATEWAY](mailto:CM2012.ECHGATEWAY@DWP.GSI.GOV.UK) - 2012.ECHGATEWAY@DWP.GSI.GOV.UK

Related Items

[Application - Fees](#)

[CIS interest - exceptions process](#)

[Exceptional Case Handling - Account Breakdown Tool](#)

[Exceptional Case Handling - Assessment](#)

[Exceptional case - create payment schedule](#)

[Exceptional Case - Close 2012 Scheme Case](#)

[Exceptional case - failed receipts/payments.](#)

[Exceptional Case Handling - Gateway](#)

[Exceptional Case Handling - Information Gathering](#)

[Exceptional Case - Payment - Non Standard](#)

[Exceptional case payments - investigate/escalate](#)

[Exceptional Case - Letters \(Outbound\)](#)

[Exceptional case - receipts and payments tool - add/remove user](#)

[Exceptional case - set up standing order](#)

[Terminology Changes](#)